



CF-78

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Howard W. Lutnick et al.
Application No.: 10/699,859 Confirmation No.: 5126
Filed : October 31, 2003
For : ELECTRONIC SYSTEMS AND METHODS FOR
PROVIDING A TRADING INTERFACE WITH
ADVANCED FEATURES
Group Art Unit : 3623

New York, New York
February 23, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER FOR
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

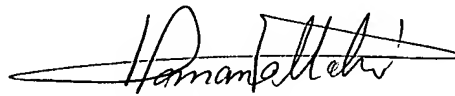
Sir:

Transmitted herewith is a Supplemental Information Disclosure Statement in the above-identified application. This Statement is submitted:

- ☐ within three months of the application filing date;
- ☒ more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Supplemental Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

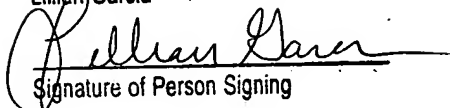
Respectfully submitted,



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Alexandria, VA 22313-1450 on

February 23, 2004
Lillian Garcia



Signature of Person Signing



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Alexandria, V.A. 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98,
applicants wish to call the attention of the Examiner to the
following document:

U.S. PATENT

Suzuki et al. 4,141,001 (02/20/79)

The aforementioned document is listed on the
accompanying Form PTO-1449 (submitted in duplicate), and a copy
of the document is enclosed herewith.

It is respectfully requested that this document be
(1) fully considered by the Patent and Trademark Office during

examination of this application; and (2) printed on any patent which may issue on this application. Applicants respectfully request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

Respectfully submitted,

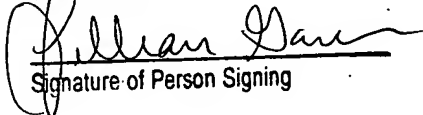


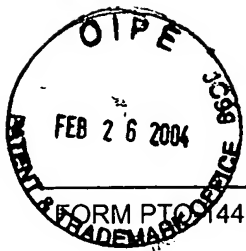
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February 23, 2004

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Signature of Person Signing



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| FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT | ATTY. DOCKET NO. CF-78 | APPLICATION NO. 10/699,859 |
| | APPLICANTS Howard W. Lutnick et al. | CONFIRMATION NO. 5126 |
| | FILING DATE October 31, 2003 | GROUP 3623 |

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|---------------------|--------------------|----------|---------------|-------|----------|----------------------------------|
| | 4,141,001 | 02/20/79 | Suzuki et al. | 340 | 711 | |
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FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
|---------------------|--------------------|------|---------|-------|----------|-------------|----|
| | | | | | | YES | NO |
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

| EXAMINER INITIAL | |
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EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.